

Understanding the Connecticut Campaign Finance Laws

A Guide for Party (Town and State Central) Committees



STATE ELECTIONS ENFORCEMENT COMMISSION
Revised September 2009





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Cite this publication as: Understanding the Connecticut Campaign Finance Laws: A Guide for Party (Town and State Central) Committees. (Connecticut State Elections Enforcement Commission), Hartford, Connecticut, September 2009.



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I. Introduction

This publication is designed to serve as a guide for party committees which desire to raise and expend funds in connection with elections or primaries for offices held in Connecticut at the state, district or local level or for referenda. A party committee may be a state central committee or a town committee. The Connecticut campaign finance laws applicable to party committees are now set forth in [Chapter 155](#) of the Connecticut General Statutes, Sections 9-600 through 9-625. Commission guides are also available for candidate committees, political committees that are formed to support or oppose candidates, and referendum committees. Copies of the campaign finance laws, disclosure forms, and committee registration statements are available at both the State Elections Enforcement Commission's offices and on our website, www.ct.gov/seec.

A party committee may maintain a separate segregated account exclusively for financing federal candidates. For more information on this subject, contact the Federal Election Commission, toll free, at 800-424-9530.

A. Changes in the Law

This Guide incorporates all of the changes made by the General Assembly to [Chapter 155](#) of the Connecticut General Statutes effective as of September 1, 2009 and provides clarifications of the law based on questions received by the Compliance Unit over the past year.

B. Changes in this Guide

Some changes have been made to the format and organization of this Guide. In previous editions, the Guide began with a definitional section of commonly used terms. Defined terms have been transferred to an expanded Glossary section in the rear of the Guide. Such terms are *italicized* when they first appear in the Guide. We have added more helpful charts and citations to the General Statutes (for your reference) and have tried to keep the text as jargon-free as is possible. Overall, the length of the Guide has been shortened.

We wholeheartedly welcome suggestions for future improvements to this Guide from you, the town committee chairpersons and treasurers, candidates and campaign workers that are its audience. Please remember, the Guide is **not** a substitute for statutes and regulations. Anyone using this Guide is advised to refer to the specific statutory provisions, regulations, declaratory rulings, and advisory opinions of the Commission referenced throughout. Any questions should be directed to the Compliance Unit of the State Elections Enforcement Commission, which has an attorney-staffed help desk that may be reached directly at **(860) 256-2925**.



II. Responsibilities of the Committee Chairperson

A. Designation and Registration of a Party Committee

A *party committee* may not solicit or receive funds or make *expenditures* unless its *committee chairperson* first registers the committee with the State Elections Enforcement Commission. Registration is accomplished by signing and submitting a form entitled [SEEC Form 2](#), "Party Committee Registration," with the State Elections Enforcement Commission. A *town committee* must also supply a copy of its [SEEC Form 2](#) to the Town Clerk of the municipality in which the town committee is situated.

[Conn. Gen. Stat. §§ [9-602\(a\)](#), [9-603\(a\)](#)]

Any additions or revisions to the information contained in a registration statement must be made by submitting an amended registration statement to the State Elections Enforcement Commission and, in the case of a town committee, to the Town Clerk.

[Conn. Gen. Stat. § [9-603\(a\)](#)]

B. Designation of a Depository Institution

The committee's registration statement ([SEEC Form 2](#)) must contain the name and address of a single *depository institution* located in Connecticut. The committee must deposit all committee funds into a single checking account established within the designated depository and the committee treasurer can only make expenditures from this one account.

[Conn. Gen. Stat. §§ [9-602\(a\)](#), [9-607\(e\)](#); [Advisory Opinion 1975-6](#)]

C. Appointment of a Treasurer

The committee chairperson is also required to appoint one individual, who is a Connecticut elector (registered voter), as committee treasurer. The committee chairperson may appoint another such individual as *deputy treasurer*. Additionally, the chairperson of a state central committee may appoint a second deputy treasurer. These appointments must appear on the committee's most current registration statement ([SEEC Form 2](#)). The committee treasurer and deputy treasurer(s) (if applicable) must co-sign the registration statement filed by the chairperson, signifying their acceptance of the appointment. Once appointed, the treasurer and deputy treasurer (if applicable) serve indefinitely. The *campaign treasurer* is solely responsible for receiving, depositing, and expending funds, for filing financial disclosure statements with the proper filing repository, and for keeping internal records of all transactions.

[Conn. Gen. Stat. §§ [9-602\(a\) and \(c\)](#), [9-606\(d\)](#), [9-609\(a\)](#)]

D. Resignation and Replacement of a Treasurer

A treasurer may resign or be replaced, or otherwise become incapacitated. A written statement of resignation must be filed with the State Elections Enforcement Commission in order to relieve the treasurer from the statutory obligations under the campaign finance laws. Upon a treasurer's resignation or permanent incapacity, the deputy treasurer, if any, automatically succeeds as "acting" treasurer until a new treasurer is appointed. Regardless of whether a deputy treasurer has been appointed, the



committee chairperson has ten (10) days in which to designate a successor treasurer to fill the vacancy by filing an amended registration statement with the State Elections Enforcement Commission and a copy with the Town Clerk in the case of a town committee. The failure to designate a successor treasurer within this ten (10) day period is a violation of Conn. Gen. Stat. § [9-602\(c\)](#), for which a fine of up to two thousand dollars (\$2,000) can be imposed against the committee chairperson.

[Conn. Gen. Stat. §§ [9-7b](#), [9-602\(c\)](#), [9-609\(a\)](#)]

A party committee may **not** receive any *contributions*, or make or incur any expenditures during a period in which the committee is without a treasurer or deputy treasurer. The committee chairperson is legally liable for any such violation and subject to a civil penalty of two thousand dollars (\$2,000) per violation.

[Conn. Gen. Stat. §§ [9-7b](#), [9-602\(a\)](#), [9-607\(a\)](#) and [\(d\)](#)]

E. Who May Not Be a Treasurer

A *candidate* may never serve as treasurer of a committee that is the authorized funding source of the candidate's campaign, including a town committee. In the event that the candidate has authorized a town committee to fund the campaign, and such candidate is, at the time of filing the exemption, the treasurer or deputy treasurer of the town committee, the candidate must immediately resign as treasurer or deputy treasurer. The candidate may not resume the office of treasurer or deputy treasurer of the town committee until the individual ceases to be a candidate.

The following individuals are prohibited from serving as treasurers of party committees because they are prohibited from soliciting funds for the benefit of a party committee:

- State contractors, prospective state contractors, principals of state contractors and prospective state contractors (including immediate family);
- *Communicator lobbyists*, their immediate family members and agents; and
- Commissioners and deputy commissioners of state agencies.

[Conn. Gen. Stat. §§ [9-601\(26\)](#), [9-610\(h\)](#), [9-612\(g\)\(2\)](#), [9-622\(11\)](#); [Declaratory Ruling 2006-1](#)]

Important Note: There may be additional Internal Revenue Service (IRS) requirements regarding an Employer Identification Number and the necessity to make filings regarding the committee's taxable income. Any questions about these IRS filing requirements should be directed to the IRS's Tax Exempt and Government Entities Customer Account Services toll free telephone number 1-877-829-5500. Additionally, information is available at the following IRS websites: www.irs.gov or <http://www.irs.gov/charities/political/article/0,,id=96355,00.html>.



III. The Role of the Treasurer

A. Makes and Authorizes Expenditures

The treasurer is the only individual who may authorize and make contributions or expenditures on the committee's behalf. All committee expenditures must be made by check or debit card drawn on the committee's checking account, or by the committee's credit card. Committee checks must contain the committee's name.

The committee treasurer may allow a committee worker or candidate to be an authorized cardholder of a credit card issued to the committee, provided that the individual's expenditures are for goods or services that are authorized by the treasurer for a lawful purpose of the committee. Additionally, a committee worker or candidate may be reimbursed by the committee if: (a) the worker or candidate has paid the expense from his or her own personal funds or personal credit card; (b) the treasurer authorized the expenditure; (c) the worker or candidate provides the treasurer with a written receipt from the vendor proving payment by the worker or candidate; (d) the expenditure is for a lawful purpose of the committee; and (e) the expenditure is not a contribution to any other committee.

In addition, when a committee worker uses personal funds to make authorized expenditures on behalf of the committee for which reimbursement is sought, such payments are deemed to be contributions to the committee to the extent that they are not reimbursed by the committee to the worker within a reasonable time. The Commission has previously determined that forty-five (45) days from the date that such expenditure was made or incurred is reasonable. This rule is necessary in order to avoid the unintended consequence of making an excessive contribution.

[Conn. Gen. Stat. § [9-607\(a\), \(d\), \(e\), \(g\)\(2\)\(O\), and \(j\)](#)]

B. Deposits All Monetary Receipts

The committee treasurer is also responsible for depositing all funds received by the committee in the committee's single checking account within fourteen (14) days of receipt.

The treasurer must ensure that any funds received by the committee are lawful and within the aggregate limits permitted under the campaign financing laws. The treasurer should not deposit any receipt which is either prohibited or otherwise exceeds the permissible limits set forth by law but should return it to the donor within fourteen (14) days of receipt or by the filing deadline for transactions falling within the reporting period, whichever is earlier.

If the treasurer deposits a monetary receipt that is later determined to be impermissible, the treasurer must report it on the financial disclosure statement ([SEEC Form 20](#)) and refund the contribution without delay by returning the amount to the donor on a check drawn on the committee's checking account. Any such refund must be reported as an expenditure using the "REF" Expenditure Code. Wherever possible, such refunds should be made in the same reporting period as the funds were deposited. The same rules apply to non-monetary receipts that are from improper sources or excessive in amount or value.



[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-607\(g\)\(2\)\(R\)](#), [9-608\(c\)](#)]

C. Retains All Records and Receipts

The treasurer must retain internal records in order to substantiate all claimed permissible expenditures made by the committee. Examples of expenditure records include, but are not limited to:

- bank statements
- travel itineraries
- credit card and debit card slips and statements
- copies of fundraiser tickets
- copies of checks
- loan agreements
- cancelled checks
- invoices
- written receipts supporting any requests for reimbursement
- copies of invitations
- compensation agreements
- copies of printed advertisements (flyers, postcards, etc.)
- bills
- cash register receipts
- copies of ad books for fundraising affairs
- solicitor appointments
- documents describing expenditures incurred but not yet paid

In instances where the committee agrees to pay someone in excess of one hundred dollars (\$100) for their work or services, the treasurer must enter into a **written agreement** with the individual, signed before any such work or service is performed, which sets forth (1) the nature and the duration of the fee arrangement; and (2) a description of the scope of the work to be performed or services to be rendered.

[[Regulations of Conn. State Agencies § 9-607-1](#)]

These internal records must be kept for four (4) years from the date of the financial disclosure statement in which the transactions were entered.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-607\(f\)](#), [9-608\(c\)\(1\)](#)]

For more guidance on the types of information that must be collected and retained, see **Chapter VI Reporting Information**.

D. Files Periodic Financial Disclosure Statements

The treasurer is also obligated to file all financial disclosure statements on behalf of the party committee. For more information on how and when to submit financial disclosure statements, see **Chapter VI Reporting Information**.

E. Appoints Solicitors

The only individuals who may receive monetary and non-monetary donations on behalf of a party committee are the treasurer, deputy, and *solicitors*. Treasurers must appoint all solicitors and there are no limitations on the number of solicitors that the treasurer may appoint. The treasurer should keep an accurate list of the name and address of



each individual who is appointed to serve as a solicitor. Although the names of solicitors need not be disclosed in the committee's financial disclosure statements, the law requires the treasurer to keep internal records, including a record of each solicitor appointment and the term of appointment, which may be subject to audit.

A solicitor may never deposit committee funds; only the treasurer may deposit funds received by the committee. Within seven (7) days of receipt of any goods, funds or contributions, the solicitor must deliver the same to the treasurer for acceptance. The treasurer must deposit funds within fourteen (14) days of his or her receipt from the solicitor, or return impermissible contributions to the contributor(s). A solicitor may not expend funds that he or she receives, and must deliver them only to the treasurer in the form he or she received them (i.e. cash received from contributors must be delivered in same cash form to the committee's treasurer).

No later than one (1) day prior to the treasurer's required filing date, each solicitor must submit to the treasurer a list of the contributor information (names, addresses, and all other information legally required, **see Chapter VI Reporting Contributions**) of all persons from whom or from which monetary or non-monetary receipts were collected by the solicitor on behalf of the committee.

[Conn. Gen. Stat. § [9-606\(c\)](#)]

F. Individuals Prohibited From Being Solicitors for Party Committees

The treasurer of a party committee is prohibited from appointing the following persons as solicitors in all instances:

- State contractors;
- Prospective state contractors;
- Principals of state contractors (includes immediate family);
- Principals of prospective state contractors (includes immediate family);
- Communicator lobbyists;
- Immediate family of communicator lobbyists;
- Agents of communicator lobbyists; and
- Commissioners and deputy commissioners of state agencies.

[Conn. Gen. Stat. §§ [9-610\(h\)](#), [9-612\(g\)\(2\)](#), [9-622\(11\)](#)]

Elected state officers and deputies, as well as members of the General Assembly, may solicit for party committees. However, state officers and General Assembly members, any candidates for such offices, and agents of any such official or candidate shall not knowingly, willfully or intentionally solicit contributions on behalf of a party committee from a person who he or she knows is prohibited from making contributions, including a principal of a state contractor or prospective state contractor, with regard to a state contract solicitation with or from a state agency in the executive or legislative branch or a quasi-public agency or a holder of a valid prequalification certificate.

[Conn. Gen. Stat. § [9-612\(g\)\(3\)](#); [Advisory Opinion 1983-2](#)]

The following individuals are prohibited from soliciting contributions from a principal of an investment services firm on behalf of a party committee: the State Treasurer or any candidate for State Treasurer, any agent of any such candidate, the Deputy State



Treasurer, any member of the State Investment Advisory Council, and any unclassified employee in the office of the State Treasurer acting at the direction of the State Treasurer or Deputy State Treasurer. This restriction does not apply to candidate and *exploratory committees* for an office other than State Treasurer established by the incumbent State Treasurer.

[Conn. Gen. Stat. § [9-612\(f\)](#)]

Municipal employees are prohibited from soliciting funds for the benefit of a party committee from an individual under their supervision or from such individual's spouse or dependent children.

[Conn. Gen. Stat. § [9-622\(12\)](#)]

IV. Raising Funds for Your Committee

A party committee may raise funds through contributions from individuals and other committees, subject to certain limitations discussed below. Other sources of funds include distribution of surplus from certain committees and donations not considered contributions due to certain exemptions under the law.

Party committees may raise funds by holding fundraising events, which can be political gatherings sponsored by the committee for which it charges an attendance fee, or tag sales or auctions at which the committee sell items to its invited guests. The issues which most commonly arise concerning a fundraising event are whether the funds given or received are treated as contributions or as receipts which are not contributions, and how to disclose these types of receipts on the treasurer's financial disclosure statement. This section provides information regarding permissible and impermissible contributions, other permissible sources of funds for party committees and the appropriate means by which funds may be collected. For more information on how to report these contributions and receipts, see **Chapter VI Reporting Information**.

A. Contributions

1. Permissible Sources and Limits

Individuals

A party committee may accept contributions from an *individual* who is either a United States citizen or a foreign national with permanent resident status in the United States, subject to the following aggregate limits per donor **per calendar year**:

Table 1-Individual Contribution Limits to Party Committees

PARTY COMMITTEE TYPE	INDIVIDUALS 18 OR OLDER	INDIVIDUALS UNDER 18
Town Committee	\$1,000	\$30
State Central Committee	\$5,000	\$30

[Conn. Gen. Stat. §§ [9-611\(e\)](#), [9-612\(a\)](#); [Title 11 Code of Federal Regulations § 110.20](#)]



Political Committees

A party committee may accept contributions from *political committees* subject to the following aggregate limits **per calendar year**:

Table 2-Political Committee Contribution Limits to Party Committees

POLITICAL COMMITTEE	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
Two (2) or More Individuals Political Committee	\$7,500	\$1,500
Business Entity Political Committee	\$7,500	\$1,500
Labor Organization Political Committee	\$7,500	\$1,500
Single Election Political Committee	\$7,500	\$1,500
Legislative Leadership	\$10,000	PROHIBITED
Legislative Caucus	\$10,000	PROHIBITED

[Conn. Gen. Stat. §§ [9-613\(e\)](#), [9-615\(d\)](#), [9-618\(c\)](#), [9-619\(c\)](#)]

The donor political committee *must* be a registered Connecticut political committee. A party committee may not accept a contribution from a political committee registered with the Federal Election Commission under federal law or under the laws of another state, but not in Connecticut, unless such committee first registers in Connecticut and solicits funds specifically for use in Connecticut campaigns. Treasurers receiving such contributions from entities not registered as committees in Connecticut must return the contributions immediately to the donor. The treasurer is advised to check with the Town Clerk and the State Elections Enforcement Commission to determine whether a committee is properly registered to make contributions in Connecticut.

[Conn. Gen. Stat. § [9-602\(a\)](#); [Opinion of Counsel 1986-2](#)]

Other Party Committees

A party committee may accept contributions from another registered Connecticut party committee (state central committee or town committee) without limit.

[Conn. Gen. Stat. § [9-617\(a\)](#)]

A party committee may accept contributions from a national committee of a political party without limit provided that any such contribution is from the national party committee's federal account on file with the Federal Election Commission and that such federal account contains only funds subject to the disclosure and contribution limits prescribed in the Federal Election Campaign Act. (No transfers from "soft money" accounts.)

[Conn. Gen. Stat. § [9-617\(a\)](#)]



2. “In-Kind” Contributions

The contribution limits and prohibitions apply to all contributions, whether monetary or in-kind. An *in-kind contribution* is the donation of goods, services or anything of value given free of charge or at a discount, i.e. at less than the usual and normal charge to the recipient committee. An in-kind contribution is valued at the usual and normal charge less any amount paid by the recipient committee and must be disclosed in financial statements.

Uncompensated services provided by an individual who **volunteers** his or her time to a committee are *not* an in-kind contribution and need not be reported. However, services that are provided by an individual which are compensated by another committee, individual, or any other entity, must be reported as an in-kind contribution, and are subject to source and amount restrictions.

3. Loans as Contributions

Loans are considered contributions, except loans made in the ordinary course of business by a bank. Loans that are contributions are subject to the overall limit on contributions to the committee. The amount of the contribution is equivalent to the principal amount of the outstanding loan. An unpaid loan, when added to other contributions from the same donor, may not exceed the contribution limit applicable to that donor. Repayments made on the loan reduce the amount of the contribution. Once repaid in full, a loan no longer counts against the donor’s contribution limit. The committee treasurer and the individual or entity making the loan must execute a **written agreement**, and the treasurer must retain a copy of the agreement for the same period as other internal records.

[Conn. Gen. Stat. §§ [9-601a\(a\)\(1\) and \(b\)\(1\)](#), [9-608\(c\)\(1\)\(E\)](#)]

4. Impermissible Sources

A party committee may not accept contributions from a *candidate committee* or a political committee formed solely for a *referendum question*. (Certain surplus distributions may, however, be received, as discussed below.)

[Conn. Gen. Stat. § [9-608\(e\) and \(f\)](#)]

Similarly, a party committee may not accept contributions from a committee of a candidate for federal or out-of-state office.

[Conn. Gen. Stat. § [9-617\(d\)](#)]

A party committee also may not accept contributions from any *business entity*, labor union or *organization*. (Contributions from **political committees** established by such entities are permissible in accordance with applicable limits, as previously outlined.)

[Conn. Gen. Stat. §§ [9-613\(a\)](#), [9-614\(a\)](#)]

Contributions from another committee or entity which is not registered in accordance with Connecticut’s campaign finance laws are prohibited, except for a national committee of a political party as set forth in the preceding section.

A party committee may not accept contributions of more than thirty dollars (\$30) in the aggregate in a calendar year from any minor child under eighteen (18) years of age.

[Conn. Gen. Stat. § [9-611\(e\)](#)]



A party committee may not accept contributions from a communicator lobbyist, member of the immediate family of a communicator lobbyist (spouse and dependent children), or a political committee established or controlled by a communicator lobbyist or members of his or her immediate family. The Office of State Ethics maintains a list of registered communicator lobbyists. In addition, individuals contributing over fifty dollars (\$50) in the aggregate are required to certify that they are not communicator lobbyists (see [Party Committee Individual Contributor Certification Form](#)).

[Conn. Gen. Stat. §§ [9-608\(c\)\(3\)](#), [9-610\(g\)](#)]

A party committee may not accept contributions from a state contractor, a prospective state contractor, a holder or principal of a holder of a valid prequalification certificate, or a principal of a state contractor or prospective state contractor. The definition of principal includes a principal's spouse and dependent children and any political committees established by such principals. The State Elections Enforcement Commission maintains lists of state contractors and prospective state contractors on its website, www.ct.gov/seec. Please note, these lists are not exhaustive and there may be additional state contractors that are not listed. In addition, individuals contributing over fifty dollars (\$50) in the aggregate are required to certify that they are not principals of state contractors or prospective state contractors (see [Party Committee Individual Contributor Certification Form](#)).

[Conn. Gen. Stat. §§ [9-608\(c\)\(3\)](#), [9-612\(g\)\(2\)](#)]

While the communicator lobbyist and state contractor bans prohibit individuals from making or soliciting contributions to, or for the benefit of a state central committee's state account that is used to support state and local candidates, these restrictions do not apply to contributions made and deposited to a federal party committee's federal account which had been established pursuant to federal election laws to support candidates for nomination or election to federal offices. Nevertheless, to avoid the appearance of violating the ban against soliciting prohibited contributions, we recommend that the federal committee's solicitations or invitations expressly state that the committee is soliciting funds only for a federal account, whenever that is the case.

[Conn. Gen. Stat. §§ [9-610\(h\)](#), [9-612\(g\)\(2\)](#), [9-622\(10\)](#); [2 U.S.C. § 453](#); Opinion of Counsel 2007-2]

In addition to the above prohibitions, a town committee also may not accept contributions from a legislative caucus or leadership committee.

[Conn. Gen. Stat. § [9-618\(d\)](#)]

Finally, it is impermissible to accept any contribution in a false name. No person may make a payment or contribution to a treasurer in any name other than the name of the true donor or payer, nor may any treasurer knowingly receive the payment or contribution. Moreover, a treasurer is prohibited from entering the name of someone other than the true donor or payer on the committee's financial disclosure statement ([SEEC Form 20](#)).

[Conn. Gen. Stat. § [9-622\(7\)](#)]



5. Contributor Certification Forms

Treasurers are required to report each contribution received, as discussed more fully in **Chapter VI Reporting Information**. To facilitate this process, the Commission has provided sample certification forms, available at its website, www.ct.gov/seec/, and in the appendix of this Guide. The sample form requests that each contributor provide the following information:

- Contributor's name and address;
- Principal occupation;
- Employer; and
- Certifications that the contributor is not a communicator lobbyist, an immediate family member of a communicator lobbyist, or a principal of a state contractor or prospective state contractor.

While all of this information may not be statutorily required depending on the contribution amount, the Commission recommends that the treasurer request this information from **all** contributors, whatever the amount given, because such information becomes **necessary** as contributions are aggregated throughout the calendar year. For example, while an individual who contributes fifty dollars (\$50) or less to the party committee is not required to complete the lobbyist and state contractor certifications, such certifications are required as soon as that person contributes another fifty dollars (\$50) during that calendar year.

B. Other Sources of Funds

As previously stated, certain monetary and non-monetary receipts are not considered contributions under the law. For example, certain transactions associated with a fundraising event may result in receipts that are not considered contributions, depending on the source and dollar value of the receipt. These receipts are still reportable and must be disclosed in Section L4, "In-Kind Donations Not Considered Contributions," of [SEEC Form 20](#). However, treasurers must be mindful that these exemptions are **narrow** and each receipt constitutes a "contribution" unless it squarely falls within one of the narrowly defined exemptions. Moreover, once the limits imposed by a given exemption are exceeded, the entire receipt must be reported as an itemized "contribution" in Section B, "Itemized Contributions from Individuals" of [SEEC Form 20](#).

Where appropriate, we provide information regarding how to report the receipt that falls within the exceptions. For more information on reporting fundraising events, see **Chapter VI Reporting Information**.

[Conn. Gen. Stat. § [9-601a\(b\)](#)]

The following is a list of the most common types of monetary and non-monetary receipts **not** considered contributions.

1. Certain Sales at Fairs

A **town committee** may raise funds through the sale of food or beverages at a town fair, county fair or similar mass gathering held within the state, and such sales are not



considered contributions to the extent the cumulative purchases by an individual does not exceed fifty dollars (\$50). Such an event must be reported in Section L1, "Fundraising Event Information" of [SEEC Form 20](#).

[Conn. Gen. Stat. § [9-601a\(b\)\(15\)](#)]

2. Certain Items of Personal Property

An **individual** may donate an item of personal property to a committee for a fundraising event, or purchase such an item at the event, if the aggregate amount of the donation or purchase does not exceed fifty dollars (\$50). Such a donation or purchase would not be a contribution. Report in Part II of [SEEC Form 20](#); for donations use Section L4, "In-Kind Donations Not Considered Contributions," and for purchases use Section L2, "Proceeds from Tag Sale, Auction or Other Sale of Donated Items."

[Conn. Gen. Stat. § [9-601a\(b\)\(9\)](#)]

EXAMPLE A: Jane Doe donates three (3) compact discs to a committee to be sold at a tag sale, and the value of each CD is ten dollars (\$10), or a total of thirty dollars (\$30). This non-monetary receipt is not a contribution yet must be reported in Section L4 as an in-kind donation.

EXAMPLE B: Jane Doe purchases a used television for sixty dollars (\$60) at a committee sponsored tag sale. She has made a sixty dollar (\$60) contribution because the purchase price is over fifty dollars (\$50). This monetary receipt constitutes a contribution from Jane Doe of sixty dollars (\$60) which is counted against her contribution limit to the committee and must be separately itemized in Section B of [SEEC Form 20](#).

Important Note: The full amount of a monetary receipt for an item purchased at a fundraising event is reported and is not reduced by the value of the item (i.e. price paid for television purchased at a committee sponsored tag sale is not diminished by the fair market value of the television).

3. Certain Business Entity Donations

Generally speaking, discounts from a business entity would be an in-kind contribution from an impermissible source. There is, however, a narrow exception to this prohibition. A business entity (e.g. restaurant) may sell to a party committee food or beverage at a discount as long as the charge is not less than the cost to the business entity and the cumulative value of the discount given is not more than four hundred dollars (\$400) with respect to any calendar year. These discounts are not considered in-kind contributions because of this exception.

[Conn. Gen. Stat. § [9-601a\(b\)\(6\)](#)]



The donation by a business entity of goods or services for a fundraising event may also be a permissible source of funds if the aggregate value of the goods or services does not exceed one hundred dollars (\$100). These items will be reported in Section L4 as an in-kind donation. Please note that a business entity may **only** donate goods or services that it sells or provides as part of its business. If the value of these goods or services **exceeds** one hundred dollars (\$100), it is an **illegal contribution**.

[Conn. Gen. Stat. § [9-601a\(b\)\(12\)](#)]

EXAMPLE C: ABC Corporation, a printing company, donates free printing services to a committee for a fundraising picnic worth ninety dollars (\$90) in value. This non-monetary receipt is not a contribution but must be reported as an “in-kind donation” in Section L4.

EXAMPLE D: The same corporation donates an **additional** sixty dollars (\$60) worth of printing to the fundraising affair. It has made a prohibited contribution because the value of the printing exceeds one hundred dollars (\$100)—now at one hundred and fifty dollars (\$150)—and therefore this exemption does not apply. The in-kind contribution may not be accepted and must either be returned immediately by the treasurer, or purchased from ABC Corporation.

4. Ad Books (Town Committees Only)

Another exception to an impermissible business contribution is a business entity’s purchase of advertising space in a program for a fundraising affair held by a **town committee** if the purchase price for the space does not exceed two hundred fifty dollars (\$250) in the calendar year. Other persons can avail themselves of this exception, though they are limited to ad purchases of up to fifty dollars (\$50). “Other persons” for this purpose may be individuals, committees, labor unions or other organizations, and trade or professional associations. If the purchase exceeds the given exemption limit, then the entire amount constitutes a contribution. For example, if an individual gives the town committee two hundred dollars (\$200) in connection with a fundraiser ad book, this amount is above the fifty dollar (\$50) narrow exemption and therefore should be reported as a two hundred dollar (\$200) contribution from the individual.

To facilitate this process, the Commission has provided a sample [Advertising Purchase Certification Form for Town Committees](#), available on its website.

Communicator lobbyists and their family members, and state contractors, prospective state contractors, and principals of state contractors and prospective state contractors are prohibited from purchasing advertising space in fundraising ad books that are sponsored by town committees.

Unlike the other fundraising exceptions, which apply separately to each fundraiser conducted by the committee, the advertising space purchase exception applies cumulatively to all purchases by the same business entity or person during a calendar year. Moreover, in order to utilize a program book that sells advertising space, the fundraising event must be a *bona fide* event intended to make a profit exclusive of any receipts from the sale of ads, and it must include an actual program for the fundraising event. These transactions are reported in Part II of the [SEEC Form 20](#) in Section L3, “Purchases of Advertising in a Program Book.”



EXAMPLE E: XYZ Corporation purchases two hundred dollars (\$200) in advertising space in a program booklet for a fundraising dinner sponsored by a town committee. This monetary receipt from the corporation is not a contribution and may be accepted. As previously stated, the treasurer is required to report all monetary receipts whether or not the funds received constitute a contribution to the committee. The two hundred dollar (\$200) purchase is reported in the name of XYZ Corporation, together with other program booklet advertising receipts, in Section L3. XYZ Corporation may subsequently purchase no more than fifty dollars (\$50) of advertising space in program booklets for other fundraising affairs held by the same committee throughout the calendar year.

[Conn. Gen. Stat. §§ [9-601\(10\)](#), [9-601a\(b\)\(10\)](#), [9-610\(h\)](#)]

5. House Parties

There are also special provisions relating to expenses of a fundraising affair or gathering held for a party committee in the personal residence of an individual. No contribution is made by the host for expenses paid by the host for invitations, food or beverages for the event if the aggregate cost to the host does not exceed four hundred dollars (\$400) on behalf of a state central or town committee in any calendar year. These costs are in-kind receipts that are not counted against such individual's contribution limit, but must be disclosed in Section L4 as an "in-kind donation." However, if the cost to the host exceeds four hundred dollars (\$400), the entire value is an in-kind contribution that is counted against the contribution limit of the individual and must be disclosed in Section M as an "in-kind contribution." If a husband and wife, for example, are co-hosting a fundraising event in their house, then they can each provide up to four hundred dollars (\$400). This exemption does not apply to hosted events outside of an individual's personal residence.

[Conn. Gen. Stat. §§ [9-601a\(b\)\(5\)](#), [9-608\(c\)](#)]

6. Surplus Distribution of Funds from Terminating Committees

Certain surplus distributions are also permissible sources of funds for party committees; however, treasurers must be mindful of the type of committee seeking to distribute its surplus.

A political committee formed for a referendum question which has a surplus after the vote on the question is held may distribute its surplus to the party committee subject to the following:

1. A portion or the entire surplus may be distributed without limit, but only if the referendum committee had not received contributions from *any* business entities or organizations; and
2. If the referendum committee had received contributions from any business entities or organizations, and the party committee contributed to the referendum committee, it may receive only its pro rata share of the surplus based on the amount of its contribution to the committee.

[Conn. Gen. Stat. §§ [9-608\(e\)](#), [9-620\(a\)](#)]

Surplus distributions from terminating municipal candidate committees or *political slate committees* also may be made to a party committee without limit after a primary day



which results in the defeat of the candidate(s), or after the election. Also, surplus distributions from terminating exploratory committees in which the candidate withdraws may be accepted without limit (exploratory committee must terminate within fifteen (15) days of withdrawal). Note, however, that surplus distributions from terminating candidate committees or political slate committees established in connection with a primary for the position of town committee member may not be made to the party committee at any time (because such committees cannot accept contributions from sources prohibited from giving to candidate and party committees).

A party committee may never accept surplus distributions from a candidate committee for a statewide office or General Assembly.

[Conn. Gen. Stat. § [9-608\(e\) and \(f\)](#)]

C. Methods of Payment

1. Cash or Check

Monetary receipts from individuals may not be accepted by a party committee unless the following methods of payments are used:

- An aggregate amount of one hundred dollars (\$100) or less may be accepted if made by cash, personal check, bank instrument or credit card; and
- An aggregate amount in excess of one hundred dollars (\$100) may be accepted if made by personal check or credit card.

[Conn. Gen. Stat. §§ [9-611\(d\)](#), [9-622\(9\)](#)]

Monetary receipts from any other committee which is a proper source of funds must be made by check drawn on that committee's designated depository institution.

There is a fifteen dollar (\$15) limit on acceptance of anonymous cash receipts by the committee. *Anonymous contributions* include funds for which the donor cannot be determined by any means. Any anonymous cash receipt of fifteen dollars (\$15) or less may be accepted and deposited by the committee treasurer in the same manner as any other monetary receipt. Any anonymous cash receipt that exceeds fifteen dollars (\$15) cannot be accepted but rather must be immediately forwarded by the committee's treasurer in full to the State Elections Enforcement Commission for deposit in the General Fund of the State of Connecticut.

[Conn. Gen. Stat. § [9-606\(b\)](#)]

2. Credit Card Contributions

Individuals may make contributions to a party committee by credit card (including their personal debit card) either in person, by mail, by telephone or over the Internet. Such contributions may be made in installments up to the maximum contribution limit. If an individual's contributions are made in person, by mail or over the telephone, they must be delivered to the treasurer or to an individual appointed by the treasurer to serve as a solicitor. A contribution made over the Internet, however, may only be made by utilizing the committee's official website secured for credit card transactions.



In order to accept a credit card contribution from an individual, a treasurer must obtain the following information from the individual contributor:

- Contributor's full name;
- Contributor's name as it appears on the credit card;
- Residence address of contributor;
- Billing address on record with card issuer (if different than residence address);
- Contributor's e-mail address (applicable to credit card contributions over the Internet);
- Amount of contribution;
- Credit card number, including the three (3) or four (4) digit security code (found typically at back of card within signature field, CVV/CVV2);
- Credit card expiration date;
- Certification that contributor is (1) not a communicator lobbyist or member of the immediate family of a communicator lobbyist, and (2) not a principal of a state contractor or prospective state contractor (which includes spouse, dependent children over eighteen (18), and civil union partners) (see [Party Committee Individual Contributor Certification Form](#));
- Principal occupation, if individual's aggregate contributions to the committee exceed one hundred dollars (\$100);
- Name of employer, if individual's aggregate contributions to the committee exceed fifty dollars (\$50);
- Donor must affirm the statement: "I am eighteen (18) years of age or older" (applicable to contributions exceeding thirty dollars (\$30));
- Donor must affirm the statement: "This contribution is made on my personal credit card for which I have a legal obligation to pay and intend to pay from my own personal funds; payment on this card is not made from the funds of a corporation, labor organization or any other entity"; and
- Donor must affirm the statement: "I am either a United States citizen or a foreign national with permanent resident status in the United States."

The committee must select a merchant account provider that is able to comply with the requirements set forth in this section.

The committee's treasurer must periodically review each transaction by utilizing the information provided by the merchant account provider or payment gateway to ensure that each contribution is from an individual's personal charge card only. The committee is required to keep the details of each transaction provided by the merchant account provider or payment gateway and to ensure that the Commission is able, upon request, to review all such records (whether held by the committee,



merchant account provider or payment gateway on behalf of the committee), whether electronic or otherwise, including the rate charged for each transaction. Failure to provide all these records will create a presumption that **any such contributions are invalid.**

The information obtained by the treasurer from the individual contributor satisfies the treasurer's due diligence requirements, except if the rate structure charged (and subsequently reported to the treasurer by the merchant account processor or payment gateway) indicates that the transaction was charged at a rate not normally charged to individuals domestically but rather at rates charged to entities (i.e. businesses, labor unions or individuals outside of the U.S.); individuals utilizing personal cards are charged at a different rate that is distinguishable from rates charged to other entities. In such instances, due diligence requires a timely refund of the contribution based upon the information received that the transaction was really charged contrary to Connecticut law.

Each committee must promptly send confirmation of each credit card contribution received through the Internet to the contributor by electronic mail to the individual's e-mail address. For contributions received by telephone or mail, the confirmation shall be sent to the contributor by U.S. mail. For credit card transactions made in person, each committee must obtain a signed credit card receipt from the contributor.

Contributions made by credit card shall be deemed received by the committee on the date that the contributor completes the transaction, unless a no charge decision is made within fourteen (14) days of the transaction or by the filing deadline for transactions falling within the reporting period, whichever is earlier. A no charge decision within such time relieves the committee treasurer of any responsibility for reporting the transaction. A committee receiving contributions by credit card must report the full (gross) amount of each contribution before the payment of any fees or deductions to any third party.

The committee's treasurer is responsible for preserving all records of each credit card contribution for the period of four (4) years from the date that the credit card transaction(s) are reported.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-607\(f\)](#), [9-608\(c\)](#), [9-611\(d\)](#)]

V. Spending Committee Funds

Spending by party committees must be for a lawful purpose, as discussed more fully below. There are additional guidelines for spending, such as limitations on the amount that a party committee may contribute to other committees and the manner in which a party committee may use cash for expenditures. Finally, there are some prohibitions on spending, such as personal use and buying votes. The permissible uses of party committee funds and guidelines for use are discussed below.

A. Permissible Expenditures Generally

All campaign expenditures must be made to promote the party, the candidates of the party or continuing operating costs of the party. Permissible expenditures include but are not limited to the rental of real and personal property, the purchase of computer equipment, professional services, office supplies, polling, utilities, and other costs



associated with campaign headquarters, printing, postage, photocopying, compensation of campaign staff, and campaign advertising of any kind.

[Conn. Gen. Stat. § [9-607\(g\)](#)]

A party committee may make such expenditures jointly with another committee when both committees are benefiting from the permissible expenditure. Party committees may also make an expenditure on behalf of a candidate committee which can either be (a) reimbursed by the candidate committee (unless the candidate is participating in the Citizens' Election Program ("CEP") and has received a public grant); (b) deemed an *organization expenditure* which is not considered a contribution to the candidate committee, see **Organization Expenditures** in Section C of this chapter; or (c) deemed a contribution to the recipient (only permissible if the recipient is **not** participating in the CEP), subject to certain limits, as more fully outlined below.

[Conn. Gen. Stat. §§ [9-601a\(b\)\(16\)](#), [9-610\(b\)](#), [9-616\(a\)](#), [9-617\(a\)-\(c\)](#); [Regulations of Conn. State Agencies § 9-706-2\(b\)\(8\)](#)]

B. Permissible Contributions from Party Committees

A party committee may make contributions to a candidate committee, subject to the following aggregate limits, which apply separately to primaries and elections:

Table 4-Party Committee Contribution Limits to Candidate Committees

OFFICE SOUGHT	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
Governor	\$50,000	\$7,500
Lt. Governor, State Treasurer, Comptroller, Attorney General and Secretary of State	\$35,000	\$5,000
State Senator	\$10,000	\$5,000
State Representative	\$5,000	\$3,000
Probate Judge	\$10,000	\$3,000
Chief Executive Officer of the Municipality (e.g. Mayor, First Selectman)	\$10,000	\$3,000
Other Municipal Offices	\$5,000	\$1,500
Exploratory Committee (undetermined office)	\$375	\$375
Political slate Committee (Municipal Offices)	\$2,500	\$1,500
Political slate Committee (Town Committee Primary)	\$2,500	\$1,500

[Conn. Gen. Stat. § [9-617\(b\) and \(c\)](#)]



Candidates participating in the **CEP** may not receive contributions from party committees. However, party committees may make **organization expenditures** on behalf of such candidates which are not considered contributions. See **Organization Expenditures** in Section C of this chapter.

A party committee may make contributions to a political committee, subject to the following aggregate limits, per calendar year:

Table 5-Party Committee Contribution Limits to Political Committees

POLITICAL COMMITTEE	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
Legislative Caucus Committee	\$10,000	\$2,000
Legislative Leadership Committee	\$10,000	\$2,000
Two or More Individual Political Committee	\$2,500	\$1,500
Business Entity Political Committee	\$2,500	\$1,500
Labor Organization Political Committee	\$2,500	\$1,500
Single Election Political Committee	\$2,500	\$1,500

[Conn. Gen. Stat. § [9-617\(b\)\(2\) and \(c\)\(2\)](#)]

A party committee may make contributions to a national committee of a political party or to a committee of a candidate for federal or out-of-state office under Connecticut law. However, the committee treasurer must refer to federal law or the laws of the applicable jurisdiction to determine what limitations, if any, exist.

Table 6-Party Committee Contribution Limits to Out of State Committees

COMMITTEE	STATE CENTRAL COMMITTEE	TOWN COMMITTEE
National Committee of a Political Party	UNLIMITED*	UNLIMITED*
Federal Candidate Committee	UNLIMITED*	UNLIMITED*
Out of State Candidate Committee	UNLIMITED*	UNLIMITED*

*Subject to federal law, and/or law of recipient jurisdictions.

[Conn. Gen. Stat. § [9-617\(a\)](#)]



A party committee also may make unlimited contributions to a charitable organization which is tax exempt under § 501(c)(3) of the Internal Revenue Code or may make memorial contributions. A **town committee** may contribute to a scholarship *awarded by a high school* on the basis of objective criteria. A state central committee may **not** make such a contribution.

[Conn. Gen. Stat. § [9-617\(a\)](#)]

C. Organization Expenditures

An organization expenditure by a party committee is specifically exempted from the definition of contribution and expenditure for purposes of the campaign finance laws, but remains a reportable transaction for purposes of public disclosure by party committees. **The significance of a proper organization expenditure is that it does not count against the donor's contribution limit, because it is excepted from the definition of contribution. Organization expenditures are the only donations from a party committee that may be accepted by candidates participating in the CEP.**

[Conn. Gen. Stat. §§ [9-601a\(16\)](#), [9-601b\(8\)](#)]

Organization expenditures may be made **only** for the following purposes:

- The preparation, display, mailing, or distribution of a party candidate listing. A "party candidate listing" is a communication that (1) lists the name or names of the candidates, (2) is distributed through public advertising, direct mail, telephone, electronic mail, Internet, or personal delivery, (3) treats all candidates substantially similar, and (4) **is limited in content** to candidate photos, the office sought, party enrollment, a brief statement of the candidate's position, philosophy, goals, accomplishments or biography, encouragement to vote for the candidate and information concerning voting, including hours and locations. **Such communications cannot promote the defeat of any candidate;**
- Printed or electronic documents including party platforms, issue papers, information on Connecticut election law, voter registration lists, and voter identification information that a party, legislative caucus, or legislative leadership committee creates or maintains for party or caucus building and gives to candidates who are members of the same party;
- Campaign events at which a candidate or candidates are present;
- Advisors on campaign organization, financing, accounting, strategy, law, or media; and
- The use of offices or office equipment that does not result in additional cost to the party, legislative caucus, or legislative leadership committee.

The scope of what constitutes an organization expenditure is narrowly construed. Any committee authorized to make such an expenditure should seek guidance from the Commission about whether the planned use of funds constitutes a permissible organization expenditure. For the complete definition of organization expenditure, see General Statutes § [9-601\(25\)](#).



Important Note: Legislative leadership committees, legislative caucus committees, and party committees are the only types of committees that may utilize this exemption.

There are additional restrictions on organization expenditures made on behalf of **General Assembly candidates participating in the CEP**. A party committee may not make any organization expenditures on party candidate listings benefiting participating General Assembly candidates for a primary campaign. In addition, a party committee may make only up to ten thousand dollars (\$10,000) in organization expenditures on behalf of a participating candidate running for state senate for a general election and only up to three thousand and five hundred dollars (\$3,500) for a participating candidate running for state representative for a general election. For all other candidate committees, there are no limitations on the amount of organization expenditures that a party committee may make on their behalves.

[Conn. Gen. Stat. §§ [9-601\(25\)](#), [9-608\(c\)\(5\)](#), [9-718](#)]

D. Coordinated Expenditures

An expenditure made by a party committee of any kind that is *coordinated* with, authorized by, or provided at the request or suggestion of a candidate committee or its agent is an in-kind contribution to the candidate committee, unless it is reimbursed by the candidate committee or qualifies as an organization expenditure.

[Conn. Gen. Stat. § [9-601\(19\)](#)]

E. Joint Fundraising Events Held To Benefit Two or More Party Committees

Two or more party committees may form a separate political committee for the purpose of holding one or more fundraising affairs to benefit the committees.

[Conn. Gen. Stat. § [9-609\(a\)](#)]

F. Petty Cash Funds

The treasurer of a party committee is permitted to establish a single petty cash fund by drawing a check on the committee's account in an amount which may not exceed one hundred dollars (\$100). The treasurer reports the check as being made out to "cash." The treasurer may replenish the petty cash fund from time to time, provided that the total balance of the fund may never exceed one hundred dollars (\$100), and provided further that the fund is not replenished more than twice in any seven (7) day period.

Expenditures made from a petty cash fund are limited to twenty-five dollars (\$25) per transaction (i.e. purchase of supplies for the committee). The treasurer must maintain a written account of all petty cash expenditure disbursements and internal records documenting how the money was spent (i.e. copies of receipts).

[Conn. Gen. Stat. § [9-607\(e\)](#); [Regulations of Conn. State Agencies § 9-607-1](#)]

G. Election Day Expenditures

On any day which an election or primary is being held, a town committee may give a check to one individual in each voting district of the municipality in which the election or primary is being held. The check shall be drawn by the committee treasurer against



the committee's depository institution account to the order of such individual in an amount not to exceed two hundred fifty dollars (\$250). The individual may use the proceeds of the check to make cash expenditures for expenses incurred by campaign workers on election or primary day, such as food and gas. Such individual shall submit a detailed accounting of such expenditures within forty-eight (48) hours after the closing of the polls and the treasurer shall report the names of all involved workers and the expenditures made by them on [SEEC Form 20](#). Where the committee agrees to pay someone in excess of one hundred dollars (\$100) for their work or services, the treasurer must enter into a **written agreement** with the individual, signed before any such work or service is performed, which sets forth (1) the nature and the duration of the fee arrangement; and (2) a description of the scope of the work to be performed or services to be rendered.

[Conn. Gen. Stat. § [9-607\(c\)](#); [Regulations of Conn. State Agencies § 9-607-1](#)]

H. Computers

A committee may purchase a computer at fair market value. A computer purchased with committee funds must be used exclusively for the committee; no personal, business or non-campaign use of the computer is permitted by law.

[Conn. Gen. Stat. § [9-607\(g\)\(2\) and \(4\)](#)]

In the alternative, a committee may choose to lease or rent a computer from any source at fair market value. A **written** memorandum of the terms of the rental agreement must be made, signed and dated, and kept as an internal record of the committee. The committee's payments under the lease must be reported as expenditures. Leasing a computer to the committee at less than the fair rental value is an in-kind contribution and must be reported accordingly. Contributors may only make an in-kind contribution of a computer up to the applicable contribution limit; a discounted lease arrangement valued at more than this limit would constitute an excessive contribution. Sources that may not properly make contributions to the committee, such as business entities, can only lease the computer at fair rental value.

[Conn. Gen. Stat. § [9-607\(g\)\(2\) and \(3\)](#)]

An individual may perform committee work at home on a personal computer owned by such individual and the computer will not be considered an in-kind contribution. The individual may be the committee chairperson, the committee treasurer or any other campaign worker. Use of a one's own computer while working for a committee is not a contribution and does not need to be reimbursed or reported by the committee. However, loaning a computer to the committee without charge is considered an in-kind contribution and is permissible only if it comes from a source that may make contributions. The loan of the computer is also subject to the aggregate contribution limits applicable to such donor.

[Conn. Gen. Stat. § [9-601a\(b\)\(4\) and \(5\)](#)]

Purchased computers may be sold to any buyer for fair market value. Leased computers must be returned and the lease discontinued.



I. Attribution Requirements for Written Communications

When a party committee expends funds on “written, typed or printed communications or web-based written communications,” certain attributions are required, whether the communication supports or opposes a candidate or solicits funds. The communications can take many forms, and may consist of letters, brochures, circulars, websites and web-based communications, billboards, transit advertisements, newspaper advertisements and similar communications, as well as campaign signs that are greater than thirty-two (32) square feet in surface area.

Any party committee which finances such communications must include on the face of the communication the text “Paid for by” together with the name of the sponsoring committee. This attribution is also required for any written, typed, or other printed communication incurred by a party committee which promotes the success or defeat of a referendum question.

[Conn. Gen. Stat. § [9-621\(a\) and \(c\)](#)]

Attributions are not required for “political paraphernalia” such as pins, badges, hats, rulers, calendars, bumper stickers, or other give away items which have a utilitarian purpose beyond the campaign message. Campaign signs (such as lawn signs) which have a surface area of thirty-two (32) square feet or less are also exempt from the attribution requirements.

[Conn. Gen. Stat. § [9-621\(d\)](#)]

J. Testimonial Affairs

Party committees must also be mindful when expending funds for a testimonial affair. A testimonial affair is an event held in honor of a candidate or in honor of an individual who holds elective office during the term of office. No testimonial affair can be held unless its purpose is to raise funds for that individual’s **candidate committee**. There are two (2) exceptions to this rule:

- A retirement party may be held for an individual who has announced his intent to retire from public office, unless he has a deficit outstanding from any one of his prior campaigns, in which case the proceeds must be used to eliminate the deficit; or
- A testimonial may be held by an entity duly organized for charitable purposes, provided that all proceeds go to the charity.

Anyone who organizes an improper testimonial or fundraiser is subject to civil and potentially criminal liability.



All contributions and monetary receipts received at the testimonial must go to the candidate committee and that committee must properly disclose the contribution amounts, which are subject to the aggregate limits applicable to the candidate committee. For example, individuals purchasing tickets to the testimonial are considered to have made a contribution to the candidate committee for the full amount of the purchase price. In addition, the expenses paid by the sponsoring committee must be reported as an in-kind contribution made by that committee and received by the candidate committee. The sponsoring committee's treasurer must provide the written valuation notice required for in-kind contributions.

[Conn. Gen. Stat. §§ [9-606\(a\)](#), [9-609\(b\)](#)]

K. Personal Use

No goods, services, funds or contributions received by any committee may be made available for the personal use of any candidate or individual. Expenditures for "personal use" include expenditures to defray normal living expenses for the candidate, the immediate family of the candidate, or any other individual (such as committee chairperson or treasurer). Expenditures for personal use are those that have no direct connection with, or effect upon, the lawful purpose of the committee. Examples of such expenditures include rent or mortgage payments for residential or business purposes, clothing, shoes, groceries, and personal subscriptions. The treasurer may not under any circumstances pay a candidate or a candidate's immediate family for services rendered to the campaign. This prohibition is not applicable to reimbursements to candidates or committee workers for goods and services purchased by them for campaign purposes.

[Conn. Gen. Stat. § [9-607\(g\)\(2\)\(L\)](#) and [\(4\)](#)]

L. Vote Buying and Selling

No person may knowingly give, lend or promise to give or lend any money or other valuable consideration to any other person to influence the other person to vote, or refrain from voting for or against any candidate. Any person who votes for or against any candidate in consideration of any gift or other valuable consideration received shall be guilty of illegal practices.

[Conn. Gen. Stat. § [9-622\(1\)](#)]

VI. Reporting Information

A. Who Reports?

The treasurer or, in the treasurer's absence or inability, the deputy treasurer, is required to file all financial disclosure statements.

[Conn. Gen. Stat. §§ [9-601\(13\)](#), [9-608\(a\)](#)]



B. How and Where to Report?

The [SEEC Form 20](#) "Itemized Campaign Finance Disclosure Statement" or, if applicable, the [SEEC Form 21](#) "Short Form Finance Disclosure Statement", must be filed with the State Elections Enforcement Commission. Town committee treasurers are also required to file a copy of the form with the Town Clerk of the municipality in which the committee is located.

All town committees are required to file a [SEEC Form 20](#) for their filings due January 10th and on the 7th day preceding an election. With the exception of these filings, a town committee may use a [SEEC Form 21](#) when it has not received contributions or other funds or made or incurred expenditures in excess of one thousand dollars (\$1,000) from January 1st of the calendar year through the close of the reporting period covered by the statement. Once a town committee exceeds that amount, it is required to file the [SEEC Form 20](#) and the committee treasurer must continue to use the [SEEC Form 20](#) for all of the committee's remaining required financial disclosure statements. Further, the first [SEEC Form 20](#) must include **all** of the reportable financial transactions which have occurred since January 1st of the calendar year through the end of the reporting period covering the first [SEEC Form 20](#). Accordingly, the committee treasurer **must** keep track of all information from the beginning of the year, regardless of the amount received.

A state central committee is **always** required to file a [SEEC Form 20](#).

[Conn. Gen. Stat. § [9-603\(a\)](#); [9-608\(b\)](#)]

EXAMPLE: A town committee is established on January 2, 2009 and does not raise or spend more than one thousand dollars (\$1,000) by March 31st of that year. The treasurer files a [SEEC Form 21](#) (Short Form) for the April 10th filing. By June 30, 2009 the committee exceeds the one thousand dollar (\$1,000) threshold, requiring the treasurer to file the [SEEC Form 20](#) for the July 10th filing, covering all financial activity between January 2 and June 30, 2009.

C. Electronic Filing

Any party committee is permitted to file any financial disclosure statements required by Section [9-608](#) in electronic form.

In January 2008, the Commission launched its Electronic Campaign Reporting Information System ("eCRIS"). eCRIS enables campaign treasurers to electronically submit required committee registration information and campaign finance statements detailing the receipts and expenditures of the committee. In addition, eCRIS provides its users with prompts and alerts treasurers to potential compliance issues. This tool is available to party committees and is fully supported by our eCRIS helpdesk.

eCRIS users may benefit from the following:

- Treasurers can upload campaign finance data into eCRIS from Excel and other campaign management software applications using eCRIS's online interface;
- Treasurers who are not computer-savvy may assign the data entry function to another individual and review the report for errors before filing;



- Amendments to previously filed registration or disclosure statements can be made quickly and efficiently;
- Calculations required by law are system generated, including aggregates for contributions and expenditures, thereby reducing potential errors; and
- eCRIS utilizes state-of-the-art technology and can handle heavy traffic.

The website for eCRIS is located at <http://seec.ct.gov/eCris/eCrisHome.aspx>

D. What Information Must Be Reported?

All monetary receipts, whether or not such receipts constitute contributions, must be reported in the period received, as well as all non-monetary receipts that constitute contributions (i.e. in-kind contributions). Certain non-monetary receipts received in connection with a fundraising affair, whether or not they constitute contributions, and all expenditures and organization expenditures made by the committee must also be reported on the financial disclosure statement.

The treasurer may electronically replicate a campaign finance statement and file a computer print-out or, if necessary, may use the pre-printed paper form prescribed by the State Elections Enforcement Commission which may include, where necessary, typed schedules and attachments. When using computer spreadsheets or forms, or other schedules or attachments, it is important to duplicate the section headings and all the data elements that appear in [SEEC Form 20](#).

[Conn. Gen. Stat. § [9-608\(c\)](#)]

E. Reporting Contributions

1. Contributions from Individuals

Monetary contributions received from an individual that are fifty dollars (\$50) or less in the aggregate during the calendar year do not require disclosure of the donor's name and address and can be entered in Section A entitled "Total Contributions From Small Contributors--This Period Only" or else itemized in Section B entitled "Contributions from Individuals over \$50 in the Aggregate." All monetary contributions in excess of fifty dollars (\$50) are itemized in Section B. Moreover, when monetary contributions exceed fifty dollars (\$50) for the calendar year from an individual who was previously reported as a small contributor in Section A, the contributor must be itemized in Section B on the next scheduled statement. All non-monetary contributions are to be recorded as in-kind contributions in Section M of [SEEC Form 20](#).

[Conn. Gen. Stat. § [9-608\(c\)\(1\) and \(4\)](#)]

Monetary and non-monetary contributions received from an individual that are over fifty dollars (\$50) in the aggregate for the calendar year require disclosure of the donor's name, address, amount received during the relevant reporting period, method of contribution, date of the contribution and the aggregate amount given. Moreover, the individual shall also provide with the contribution a certification that he or she is not a principal of a state contractor or prospective state contractor or a communicator lobbyist or immediate family member of a communicator lobbyist.

[Conn. Gen. Stat. § [9-608\(c\)\(1\) and \(3\)](#)]



For individuals who contribute to the committee in excess of one hundred dollars (\$100) in the aggregate, the treasurer must also obtain their principal occupation and name of employer.

[Conn. Gen. Stat. § [9-608\(c\)\(1\)](#)]

If a committee treasurer receives a contribution over fifty dollars (\$50) that does not include lobbyist and state contractor certifications, the treasurer shall: (A) not later than three (3) days after receiving the contribution, send the contributor a request for the certification by certified mail, return receipt requested; (B) not deposit the contribution until the certification is received; and (C) return the contribution to the contributor if the contributor does not submit the certification not later than fourteen (14) days after the treasurer's written request or at the end of the reporting period in which the contribution was received, whichever is later.

[Conn. Gen. Stat. § [9-608\(c\)\(3\)](#)]

As previously noted, the Commission has provided [sample Party Committee Individual Contributor Certification Forms](#), available at its website. While all of the information included in the sample certification form may not be statutorily required depending on the contribution amount, the Commission recommends that the treasurer request this information from **all** contributors, whatever the amount given, because such information becomes **necessary** as contributions are aggregated throughout the calendar year.

Anonymous monetary receipts of fifteen dollars (\$15) or less during the reporting period are reported in Section I "Anonymous Contributions," and must include the denomination of the bills and the total value of all coins received anonymously.

[Conn. Gen. Stat. § [9-608\(c\)\(1\)\(B\)](#)]

Monetary receipts in the form of personal checks written on joint accounts are attributed to the individual who signs the check. If both individuals on a joint checking account sign the check, then the contribution is allocated equally between them.

[Conn. Gen. Stat. § [9-606\(b\)](#)]

A monetary receipt in the form of a money order is considered to be "cash" and should be reported as such. There is a limit of one hundred dollars (\$100) of aggregated contributions made by cash or money order.

[Conn. Gen. Stat. § [9-611\(d\)](#)]

2. Loans

All loans are reported in Section D, "Loans Received this Period," of [SEEC Form 20](#), regardless of whether they are considered contributions. The treasurer must report the name and address of any bank or other lender which has made a loan to the committee, the principal amount of the loan received in the reporting period, along with the name and address of any person who is a guarantor or cosigner of the loan. Outstanding loan balances must be continuously reported as a debt, on the "Summary Page" of [SEEC Form 20](#).

[Conn. Gen. Stat. § [9-608\(c\)\(1\)\(E\)](#)]



3. Contributions from Other Committees

Any monetary receipt from another committee must be reported as either a contribution, and disclosed in "Contributions from Other Committees" in Section C1, or as a reimbursement, payment, or surplus distribution from the committee (see applicable limitations in **Chapter IV Raising Funds**) that is not a contribution, in Section C2. The purchase of advertising by another committee in a party committee's program book, which is not considered a contribution, is disclosed in "Purchasing of Advertising in a Program Book," Section L3. Any non-monetary contribution received from another committee must be disclosed in Section M, "In-Kind Contributions."

4. Monetary Receipts not Considered Contributions

All other monetary receipts that are not contributions must be disclosed. Examples include interest posted or received from deposits in authorized investment accounts (reported as "Interest from Deposits in Authorized Accounts," Section J); bank credits or refunds (reported as "Miscellaneous Monetary Receipts not Considered Contributions," Section K); and certain other monetary receipts from fundraisers (e.g. purchases of goods or ads in program books reported in the "Fundraising Event Activity" section of [SEEC Form 20](#)).

F. Reporting Fundraising Events

The treasurer is required to disclose all receipts of a fundraiser whether or not such receipt constitutes a contribution to the committee. Each fundraising affair, including the date, location, and a description, are required to be reported in Section L1 "Fundraiser Event Information" of Part II of [SEEC Form 20](#). All monetary receipts received at the given event which are contributions may be recorded as an aggregate amount if the contributor has contributed fifty dollars (\$50) or less in the aggregate during the calendar year (enter in Section A of Part I of [SEEC Form 20](#)). If the contributor's total contributions given to the committee exceed fifty dollars (\$50) for the calendar year, the contributor must be itemized in Section B of Part I. The corresponding fundraising event at which the given contribution was received must be identified in Section B as well.

Each non-monetary receipt received at the event which is a contribution must be itemized as an in-kind contribution in Section M of [SEEC Form 20](#). Again, the treasurer must identify the fundraising event listed in L1 at which the given in-kind contribution was received. The purchase of fundraising tickets are considered contributions, and therefore must be reported in the appropriate section, dependent upon the amount purchased by the contributor and the aggregate amount of other contributions by the same contributor.

The donations received in connection with a fundraising affair that do not constitute contributions must be disclosed in Section L4, "In-Kind Donations Not Considered Contributions," of Part II of [SEEC Form 20](#). Such itemizations must include the name and address of each such donor and the corresponding amount. The treasurer must also separately itemize each expenditure made by the committee in connection with the fundraising affair in the same manner as any other committee expenditure in Section IV "Expenditures" of the [SEEC Form 20](#).

[Conn. Gen. Stat. § [9-608\(c\)\(1\)](#)]



G. Reporting Expenditures

Expenditures are reported in Section P, "Expenses Paid by Committee," of the [SEEC Form 20](#). Each expenditure, regardless of the amount, must be separately itemized with the following information:

- Payee's full name and address;
- Amount, date, description, and method of payment;
- Correct Expenditure Code identifying the purpose of the expenditure (*Expenditure Codes are listed in the [SEEC Form 20 instructions](#)*); and
- If applicable, candidate supported or opposed by the expenditure, whether the expenditure is made independently of the candidate or is a coordinated or organization expenditure, and whether reimbursement is claimed from the party committee.

1. In-Kind Contributions to Other Committees

Each treasurer of a party committee which makes an in-kind contribution of goods, items, or services to another committee is required to send written notice to the recipient committee's treasurer before the close of the recipient committee's next financial disclosure statement covering the period in which the in-kind contribution was received. The treasurer of the party committee is required to sign the valuation notice, which must include the full name of the committee, the date on which the in-kind contribution of goods was made, along with a complete description of the item and its value. While a written valuation notice is not similarly required for donated "services" (i.e. paid campaign staff which is loaned to the other committee), the recipient committee's treasurer is nevertheless required to make due inquiry of the donor committee as to the value of the in-kind services loaned and report the same in its next financial disclosure statement, covering the period of loaned services, as an in-kind contribution. A town committee is not required to send valuation notice of an in-kind contribution made to a municipal candidate who has certified that his campaign will be funded exclusively by the town committee and therefore does not have a candidate committee.

[Conn. Gen. Stat. § [9-606\(a\)](#)]

2. Organization Expenditures

Each statement filed by the treasurer of a party committee shall include an itemized accounting of each organization expenditure made by the committee for the benefit of a candidate. At the time of such itemized accounting, the committee treasurer shall provide notice of the amount and purpose of the organization expenditure to the candidate committee of such candidate or candidates. Party committee treasurers report organization expenditures in Section P of [SEEC Form 20](#), checking off the appropriate type of organization expenditure. The treasurer must also send notice of the organization expenditure to the recipient committee before the close of the reporting period in which the expenditure was made. The notice must be signed by the treasurer of the party committee and include the full name of the party committee, the date on which the expenditure was made, and a complete description of the expenditure as well as a statement of its value.



3. Expenses Incurred but Not Paid

Each expense incurred but not yet paid must **also** be separately itemized in the same manner as expenditures paid, including the disclosure of any secondary payees. Expenses incurred but not paid are reported in Section S, "Expenses Incurred by Committee but Not Paid During this Period." The obligation to report expenses incurred arises when the committee enters into a written contract, promise or agreement to make an expenditure. For example, if a party committee purchases mailers that it distributes in June but is not billed for them until August, the committee would report the expense in Section S of its July 10th filing.

4. Loan Repayments

Loan repayments are reported in Section P. The name and address of each bank or other lender, the amount and date of the repayment or partial repayment (principal plus interest) on the loan during the applicable reporting period must be reported. When reporting a loan repayment, use "LOAN" as the Expenditure Code.

5. Coordinated Expenditures

Party committees must report expenditures made in coordination with other committees in Section P, checking off the appropriate type of coordinated expenditure and indicating the name or names of the candidates supported. Where the party committee does not seek reimbursement, it will indicate so in Section P and the recipient candidate committee will report the expenditure in Section M, "In-Kind Contributions," of its financial disclosure statement. The party committee may choose to seek reimbursement for any expenditure it has made for the benefit of a candidate committee, provided notice of a description of the expenditure and the amount of reimbursement being sought is given to the candidate committee's treasurer by the close of the candidate committee's reporting period in which the party committee's expenditure was made. In completing Section P, the party committee will indicate that the expense was coordinated with reimbursement sought. The party committee will then report the payment from the candidate committee as a reimbursement from another committee in section C2 of [SEEC Form 20](#). The candidate committee will not report this as an in-kind contribution; it will report its reimbursement as an expenditure to the party committee.

6. Reimbursements to Workers

Each expenditure that is a reimbursement to a committee worker must be treated as any other expenditure and must include an itemization of any payments to secondary payees (e.g. the vendors who transacted with the committee worker). Such reimbursements are reported in Section P, using "RCW" as the Expenditure Code. In a separate section of [SEEC 20 form](#), Section T, "Itemization of Reimbursements to Committee Workers and Consultants," the treasurer must itemize what the worker was reimbursed for. This section will not affect the balance on hand and need not be carried forward to the "Summary Page."



7. Payments to Consultants

If a consultant is paid by the committee to provide services, the disclosure of each payment to the consultant must also include an itemized schedule of the payments the consultant has made to other vendors on behalf of the committee (secondary payees).

[Conn. Gen. Stat. §§ [9-601b\(c\)](#), [9-607\(j\)](#), [9-608\(c\)](#); [Regulations of Conn. State Agencies S 9-607-1](#)]

H. When to File?

The treasurer of a **town committee** must file a financial disclosure statement with the State Elections Enforcement Commission and a copy with the Town Clerk's office by the following deadline dates:

- The 10th day of January, April, July and October
- The 7th day prior to a regular November state election
- The 7th day prior to each municipal election, whether in May or November
- The 7th day prior to any primary when the committee has expended funds in connection with the primary
- The 7th day prior to any referendum when the committee has expended funds in connection with the referendum
- The 7th day prior to any special election when the committee has expended funds in connection with the special election

If such deadline date falls on a Saturday, Sunday or legal holiday, the financial disclosure statement shall be filed on the next business day. This filing must be submitted at some time during the filing period, which begins at the conclusion of the reporting period and ends on the filing deadline date. A more specific calendar, with the actual filing dates and reporting periods, is available from the State Elections Enforcement Commission or any Town Clerk's office.

The reporting period for each disclosure statement filed by a town committee on the 10th day of January, April, July and October must include the financial activity of the committee beginning the first day not included on the last filed financial disclosure statement and ending on the last day of the month preceding the month in which the statement is required to be filed. Each disclosure statement filed on the 7th day preceding Election Day or Primary Day, however, must include the financial activity of the committee beginning the first day not included on the last filed financial disclosure statement and ending as of seven (7) days immediately preceding the required filing deadline day.

The treasurer of a **state central committee** must file a financial disclosure statement with the State Elections Enforcement Commission by the following deadline dates: the 10th day of January, April, and July, and the 12th day prior to any election. If such deadline date falls on a Saturday, Sunday or legal holiday, the statement shall be filed on the next business day. This filing must be submitted at some time during the filing period, which begins at the conclusion of the reporting period and ends on the filing deadline date. A more specific calendar, with the actual filing dates and reporting periods, is available from the State Elections Enforcement Commission.



The reporting period for each disclosure statement filed by a state central committee on the 10th of January, April and July must include the financial activity of the committee beginning the first day not included on the last financial disclosure statement and ending on the last day of the month preceding the month in which the statement is required to be filed. Each disclosure statement filed on the 12th day preceding an election shall include financial activity up to the 19th day preceding an election.

Statements are considered **timely filed** if they are either postmarked by the United States Postal Service before midnight on or before the required filing deadline date, delivered by hand to the State Elections Enforcement Commission (and to the Town Clerk, if a town committee) by the close of business hours on or before the filing deadline date, or filed electronically via eCRIS with the State Elections Enforcement Commission before midnight on or before the filing deadline date. Please note that Town Clerks are not equipped to accept electronically filed statements from town committees.

[Conn. Gen. Stat. §§ [1-2a](#), [9-608\(a\)](#) and [\(d\)](#)]

Important Note: Some Town Clerk's offices may not have office hours or may have shortened office hours on a filing deadline day. This does not relieve the treasurer of filing by the deadline, so be sure to confirm the office hours of the Town Clerk if delivery by hand is anticipated.

I. Late Filing Fees

Failure to file the financial disclosure statement with the State Elections Enforcement Commission by the applicable deadline date subjects the treasurer to an automatic one hundred dollar (\$100) late filing fee, which must be paid by the treasurer from **personal and not committee funds**. Late filing fees are payable to the State Elections Enforcement Commission, Campaign Finance and Disclosure Unit.

In addition, a treasurer's failure to submit these filings within twenty-one (21) days after receiving a failure to file notice from the State Elections Enforcement Commission by certified mail, return receipt requested, will constitute a violation of Section [9-608](#) and will subject the treasurer to an additional civil penalty of two hundred dollars (\$200) to two thousand dollars (\$2,000). These additional fines and penalties are enforced by the State Elections Enforcement Commission, Legal Affairs and Enforcement Unit.

[Conn. Gen. Stat. § [9-623\(b\)](#)]

J. Copies of Disclosure Statements

The treasurer must provide the committee chairperson with a duplicate copy of the financial disclosure statement at the time of filing. Additionally, town committees must file a duplicate copy of their financial disclosure statement with the Town Clerk's office in which the town committee is located.

[Conn. Gen. Stat. §§ [9-603\(a\)](#), [9-608\(d\)](#)]

The registration and financial disclosure statements filed on behalf of party committees are available for public inspection at the State Elections Enforcement Commission and



at the Town Clerk's office in the case of town committees. These statements are required to be kept by the filing repository for five (5) years from the date of filing.

[Conn. Gen. Stat. § [9-608\(c\)\(7\)](#)]

VII. Requesting Compliance Advice

Anyone who is covered by Connecticut's campaign finance law may request free legal advice about how the law applies to them in a particular situation. You may request advice by calling the "Attorney-of-the-Day," or online, or in writing by U.S. Mail. PLEASE DO NOT request advice for the SAME QUESTION using more than one of these methods.

1. Call the "Attorney-of-the-Day" at (860) 256-2925.

OR

2. Make a request for telephone advice online.

You may submit a request for advice from the Compliance Unit by e-mailing seec.compliance@ct.gov.

OR

3. Make a request for written advice.

You may submit a request for written advice by e-mailing the Compliance Unit at seec.compliance@ct.gov or by sending a letter to:

State Elections Enforcement Commission
Attn: Compliance Unit
20 Trinity Street – 5th Floor
Hartford, CT 06106

In your request for written advice, please include a complete description of all relevant facts and a specific question. Your request must concern a specific transaction or activity that you plan to undertake or are currently undertaking and intend to continue in the future.

The Commission and/or its staff issue three (3) types of written advice: opinions of counsel, advisory opinions, and declaratory rulings. An **Opinion of Counsel** is an opinion by SEEC staff counsel; it is not binding on the Commission. However, the person to whom an opinion of counsel is rendered may rely upon the opinion with respect to any matter brought before the Commission based upon the same facts and circumstances. If there is an omission or change in any of the facts or assumptions presented, and such omission, fact or assumption is material to the conclusions presented in the opinion of counsel, then the requestor may not rely on those conclusions in support for such activity brought before the Commission.

Where the Commission sees that similar questions are being asked by various individuals or concludes that the regulated community would best be served by written guidance, the Commission may opt to issue an **Advisory Opinion**. An advisory opinion is an official



Commission response to a question relating to the application of Connecticut campaign finance law and has general applicability.

Finally, the Commission may issue a **Declaratory Ruling**. The purpose of a declaratory ruling is to obtain the Commission's ruling as to the validity of any regulation or the applicability to specified circumstances of a provision of the General Statutes, a regulation, or a final decision on a matter within the jurisdiction of the Commission. An individual may petition for a declaratory ruling or the Commission may initiate a proceeding on its own motion. A petition for a declaratory ruling must: (1) state clearly and concisely the substance and nature of the petition; (2) identify the statute, regulation and/or order which the petition concerns; (3) identify the particular aspect to which the petition is directed; and (4) be accompanied by a statement of any supporting data, facts, and/or arguments that support the petitioner's position. A declaratory ruling has general applicability.

The Compliance Unit will NOT respond to requests concerning:

1. The conduct of another individual.

The Compliance Unit may provide you only with advice concerning your own conduct.

2. Conduct that has already occurred.

The Compliance Unit may provide you only with advice concerning your current or future conduct.

3. Issues that are not covered under the campaign finance statutes.

The Compliance Unit may only provide you with advice concerning [Chapters 155](#) through [157](#) of the General Statutes and General Statutes [9-7a](#) and [9-7b](#), the enabling statutes for the State Elections Enforcement Commission.



VIII. Complaints

A. Who May Bring a Complaint?

Any individual may bring a complaint to the State Elections Enforcement Commission requesting that an investigation be made into any alleged violation of the State election laws. The State Elections Enforcement Commission may, on its own initiative, also decide to conduct an investigation on any possible violation of the State election laws.

[Conn. Gen. Stat. § [9-7b\(1\)](#)]

B. Form of Complaint

All complaints filed with the Commission must be in writing and sworn to under oath by the complainant. Our [complaint form](#) is available at the State Elections Enforcement Commission's offices and on its website (www.ct.gov/seec) and may be used to file complaints. A complaint may also be filed in letter form provided that it is sworn to under oath. Complaints must be submitted with an original signature of the complainant. No copies or facsimiles will be accepted.

Complaints should include the following:

- The legal name, address and telephone number of the person filing the complaint.
- A clear and concise statement of the facts including:

The date of the alleged violation(s);

The identity of the person(s) alleged to have committed the violation(s);

The identity of any person(s) who may have knowledge of the facts asserted in the complaint; and

Any other document, written material or other information known to the complainant and having a bearing on the violation(s) alleged in the complaint.

Complaints should be mailed to:

State Elections Enforcement Commission
Attn: Legal and Enforcement Unit
20 Trinity Street – 1st Floor
Hartford, CT 06106

C. General Criminal and Civil Penalties

Any person who violates any provision of Connecticut's campaign finance laws is subject to a civil penalty not to exceed two thousand dollars (\$2,000) or twice the amount of the improper contribution or payment, whichever is greater.

[Conn. Gen. Stat. § [9-7b\(a\)\(2\)](#)]



Any person who “knowingly and willfully” violates any provision of Connecticut’s campaign finance laws is subject to criminal penalties of up to five thousand dollars (\$5,000) in fines, or five (5) years imprisonment, or both.

[Conn. Gen. Stat. § [9-623\(a\)](#)]

IX. Conclusion

This Guide was intended to clarify and summarize the most important provisions relating to Connecticut’s campaign financing requirements relevant to party committees.

Contact Us

Inquiries regarding campaign financing requirements, legal interpretations of the State Elections Enforcement Commission, and requests for formal advice may be addressed to:

State Elections Enforcement Commission
Attn: Compliance Unit
20 Trinity Street, 5th Floor
Hartford, Connecticut 06106-1628

Compliance Line:	860-256-2925
Main Telephone:	860-256-2940
Toll Free (outside Hartford area):	866-SEEC-INFO
Main Fax:	860-256-2997
Website:	www.ct.gov/seec
E-Mail:	seec.compliance@ct.gov

Requests for copies of the published calendar of specific filing dates and committee registration and disclosure statements may be obtained from the website of the State Elections Enforcement Commission and also by contacting the Commission by phone or mail.



X. Glossary

Anonymous Contribution: A contribution for which the campaign treasurer has no information about the identity of the contributor. To satisfy this very narrow definition, the contributor must make the contribution outside of the presence of the campaign treasurer and provide no identifying information, making it impossible for the campaign treasurer to discern the identity of the contributor. Cash received in the mail, with no return address, would satisfy this definition. However, a check mailed to the campaign or the purchase of raffle ticket or admission ticket at an event would not, since the treasurer would be able to identify the contributor and must do so to comply with the law. See [Final Decision 2007-274](#) (SEEC, Dec. 8, 2008) (defining “anonymous contribution”).

Business Entity: Any stock corporation, bank, insurance company, limited liability company, business association, bankers association, insurance association, trade or professional association receiving funds from membership dues and other sources, partnership, joint venture, private foundation, trust or estate, cooperative or other association, and any similar organization or entity which is engaged in the operation of a business or profit-making activity. A non-profit entity would not satisfy the definition of “business entity.” A solely owned professional service corporation (P.C.) or a sole proprietorship is considered an individual and not a business entity. See General Statutes §§ [9-601\(8\)](#) (defining “business entity”); [9-601\(9\)](#) (defining “individual”).

Campaign Treasurer: A Connecticut elector (registered voter) appointed to serve as treasurer for a candidate; for a political committee, including exploratory, political slate, and referendum committees; or for a party committee. Only the committee’s properly designated campaign treasurer may deposit funds into, or expend funds from, the committee’s depository account. See General Statutes §§ [9-601\(12\)](#) (defining “campaign treasurer”), [9-606\(d\)](#) (requiring campaign treasurers to be Connecticut electors), [9-608](#) (outlining requirements for statements that campaign treasurers file on behalf of candidate, party, or political committees).

Candidate: An individual seeking nomination or election to public office, who has solicited or expended funds to bring about that election or nomination; who can appear on the ballot having received the endorsement or nomination of a political party; or who has satisfied the requirements to appear on the ballot (e.g. “petitioning candidate”). See General Statutes §§ [9-601\(11\)](#) (defining “candidate”); [9-400](#) (designating means for filling state or district candidacies); [9-406](#) (establishing process for circulating nominating petitions). Persons who have formed exploratory committees are considered candidates.

Candidate Committee: A committee established by a single candidate to promote only that candidate’s nomination or election to a *specific* office. See General Statutes § [9-601\(4\)](#) (defining “candidate committee”). A candidate may establish only one candidate committee for a particular office to be sought.



Committee Chairperson: A committee chairperson may be any individual who has signed the committee's registration statement as the designated chairperson. Generally, party committees elect their chairpersons. The chairperson is responsible to appoint and designate the treasurer and deputy treasurer of the committee on the committee's registration statement, along with the other required information. The party's chairperson is generally elected by the party membership. See General Statutes § [9-609\(a\)](#).

Communicator Lobbyist: A person who earns more than two thousand dollars (\$2,000) per year communicating directly or soliciting others to communicate with officials in the executive or legislative branch to advocate on behalf of a client to influence a legislative or administrative action. See General Statutes §§ [1-91\(v\)](#) (defining "communicator lobbyist"), [9-601\(16\)](#) (drawing on § [1-91](#) to define "communicator lobbyist" for purposes of campaign finance laws). Communicator lobbyists are to be distinguished from "client lobbyists" who are the clients that hire the communicator lobbyists.

Contribution: Any gift, loan, payment or expenditure of money, goods or anything of value made for the purpose of influencing the nomination or election of any individual to office. The campaign treasurer must report all contributions, both monetary and non-monetary (or "in-kind"), that the committee has received. See General Statutes § [9-601a](#) (offering broad definition for "contribution" as well as specific exceptions).

Coordinated Expenditure: An expenditure that a third party makes with the tacit or actual approval and cooperation of a candidate or someone representing the candidate. Because these expenditures are not independent of the candidate, the candidate committee's campaign treasurer must report them as "in-kind" contributions received by the candidate committee. See General Statutes § [9-601\(19\)](#) (defining "coordinated expenditures"). *Compare to Independent Expenditures.*

Depository Institution: Under Connecticut's campaign finance laws, a party committee must establish a single checking account at a financial institution with a branch in Connecticut from which it will make all expenditures and deposit all monetary receipts. See General Statutes §§ [9-602\(a\)](#) (directing campaign treasurer of committee to designate single depository institution for committee's funds); [9-607\(e\)](#) (directing that majority of payments must be made by check, debit card, or credit card); [Advisory Opinion 1975-6](#) (directing that all expenditures must emanate from checking account).

Deputy Campaign Treasurer: A "back-up" treasurer who steps in as treasurer if the campaign treasurer is unable to perform his or her duties for any reason. See General Statutes § [9-601\(13\)](#) (defining "deputy campaign treasurer").

Expenditure: Any outlay or disbursement of funds or anything of value when made to influence the election or nomination of a candidate for office, to promote the success or defeat of a referendum question, or to benefit a political party. See General Statutes § [9-601b](#) (establishing meaning of "expenditure" for campaign finance purposes, and exceptions to that definition).



Exploratory Committee: A political committee that a candidate establishes to raise funds and gauge support for his or her candidacy while deciding whether to seek a particular public office. See General Statutes § [9-601\(5\)](#) (defining “exploratory committee”).

Independent Expenditures: Expenditures made by a person or group without the consent, knowing participation, or consultation of, a candidate or agent of the candidate committee. In contrast to coordinated expenditures, truly independent expenditures will not cause participating candidate committees to exceed expenditure limits. See General Statutes § [9-601\(18\)](#) (defining “independent expenditure”).

Individual: A human being, a sole proprietorship, or professional service corporation organized under Chapter 594a of the Connecticut General Statutes and owned by an individual. See General Statutes § [9-601\(9\)](#) (defining “individual” for purposes of Connecticut’s campaign finance laws).

In-Kind Contributions: Donation of goods, services, or anything of value (other than cash, checks, or other negotiable instruments) that the recipient committee or candidate receives free of charge or at less than the usual charge.

Lobbyist: Any individual or entity that receives or pays more than two thousand dollars (\$2,000) in a single calendar year to communicate with state executive or legislative branch officials with the intent to influence administrative action. See General Statutes § [1-91\(l\)](#) (defining “lobbyist”). The term lobbyist includes both communicator and client lobbyists.

Organization: All labor organizations, employee organizations, bargaining representative organizations for teachers, local, state or national organizations to which any labor organization pays fees or membership dues, as well as any trade or professional association receiving its funds exclusively from membership dues. See General Statutes § [9-601\(7\)](#) (defining organization).

Organization Expenditure: Certain expenditures made by legislative leadership committees, legislative caucus committees, or party committees that benefit candidates but are exempted from the definition of “contribution.” These expenditures can only be made for specific publications, advertisements, events, services, and office expenses outlined in General Statutes § [9-601\(25\)](#) (defining “organization expenditures”).

Party Committee: A committee established by a political party, including a local town committee or state central committee, excluding party-affiliated district, ward, or borough committees, which are considered “political committees.” A state central or town committee may establish only one party committee for the financing of candidate’s campaigns in Connecticut. See General Statutes § [9-601\(2\)](#) (defining “party committee”).



Political Committee: A committee established by a business, organization, group of individuals, an exploratory candidate, or a slate of municipal candidates to promote the election or nomination of candidates for public office or to advocate for or against a referendum issue. Political committees may also be established by legislative leadership or legislative caucuses. See General Statutes § [9-601\(3\)](#) (defining “political committee”).

Political Slate Committee: A political committee formed by two (2) or more candidates, within the same municipality, who are seeking municipal office in the same election or primary, for the sole purpose of funding their campaigns collectively.

Solicitor: An individual, including a candidate, appointed by a campaign treasurer to receive funds on behalf of a committee organized under the auspices of [Chapter 155](#). See General Statutes § [9-601\(14\)](#) (defining “solicitor”).

Referendum Question: A referendum question is a question to be voted upon at any election or referendum, including a proposed amendment to the Connecticut Constitution. See General Statutes § [9-601\(15\)](#) (defining “referendum question”).

Slate Committee: See **Political Slate Committee**.

Town Committee: A type of party committee affiliated at the municipal level.

Treasurer: See **Campaign Treasurer**.



Permissible Contributions to Party Committee Aggregate Dollar Limits

Contributor Sources ^a	<i>Received by</i>	
	<i>Town Committee</i>	<i>State Central Committee</i>
Individual (18 or older)	\$1,000/yr	\$5,000/yr
Another Party Committee ^b	Unlimited	Unlimited
Candidate Committee	Prohibited ^c	Prohibited ^c
Political Committee Formed by Two or More Individuals	\$1,500/yr	\$7,500/yr
Political Committee Formed by a Business Entity	\$1,500/yr	\$7,500/yr
Political Committee Formed by an Organization	\$1,500/yr	\$7,500/yr
Political Committee Formed for a Single Election	\$1,500/yr ^d	\$7,500/yr ^d
Legislative Leadership or Caucus Political Committee	Prohibited	\$10,000/yr
Referendum Committee	Prohibited ^e	Prohibited ^e

a) Only contributions from political and party committees that are registered in Connecticut may be accepted, with the exception set forth in footnote b.

b) Contributions from a national committee of a political party may be accepted without limit provided that any such contribution is from the national party committee's federal account on file with the Federal Election Commission which contains only funds subject to the limits prescribed in the Federal Election Campaign Act. (No transfers from "soft money" accounts.)

[Conn. Gen. Stat. § [9-617\(d\)](#), General Statutes]



- c) Municipal candidate committees may distribute their surplus upon termination in certain circumstances. See **Surplus Distribution of Funds from Terminating Committees** in Chapter IV, Section B: Other Sources of Funds.
- d) Except for political committees established for a slate of candidates in a primary for town committee member, which are **prohibited**. For other political slate committees, please see **Permissible Sources and Limits** in Chapter IV, Section A: Contributions. Exploratory committees may also distribute their surplus upon termination in certain circumstances. See **Surplus Distribution of Funds from Terminating Committees** in Chapter IV, Section B: Other Sources of Funds.
- e) A referendum committee may be able to distribute its surplus to a party committee upon termination dependent upon how it was funded. See **Surplus Distribution of Funds from Terminating Committees** in Chapter IV, Section B: Other Sources of Funds.

Sample Certification - Form P

Form P - For use by:

Individuals Making Contributions to a Party Committee

Do NOT use this form if candidate is participating in the Citizens' Election Program

*Candidates Participating in the Citizens' Election Program must use:
General Assembly Candidates - Sample Certification - Form A
Statewide Candidates - Sample Certification - Form B*

Individual Contributor Certification Form

[Insert name of Party Committee]

NAME OF INDIVIDUAL CONTRIBUTOR				CONTRIBUTION AMOUNT
Cash <input type="checkbox"/> Money Order <input type="checkbox"/> Check # <input type="text"/> Debit Card/Credit Card <input type="checkbox"/>				
RESIDENTIAL ADDRESS*				PHONE NUMBER
CITY	STATE	ZIP CODE	Are you 18 or older?	
			Yes <input type="checkbox"/> No <input type="checkbox"/> If you are not 18 or older please list your age: <input type="text"/>	
EMPLOYER		PRINCIPAL OCCUPATION		
Please review the definitions on the reverse of this form and answer each of the following:				
Yes <input type="checkbox"/> No <input type="checkbox"/>	Are you a communicator/lobbyist?			
Yes <input type="checkbox"/> No <input type="checkbox"/>	Are you the spouse or dependent child of a communicator/lobbyist? If yes, are you an elected public official? Yes <input type="checkbox"/> No <input type="checkbox"/>			
Yes <input type="checkbox"/> No <input type="checkbox"/>	Are you a principal of a state contractor or prospective state contractor? If yes, please indicate which branch or branches of government the contract(s) is with: Legislative <input type="checkbox"/> Executive <input type="checkbox"/>			
Yes <input type="checkbox"/> No <input type="checkbox"/>	If you answered "yes" to the previous question, are you an elected public official?			
Yes <input type="checkbox"/> No <input type="checkbox"/>	Are you a principal of a holder of a valid prequalification issued by the Commissioner of Administrative Services?			
CERTIFICATION				
I hereby certify and state that all of the information disclosed by me and set forth above on this contributor card is true and accurate to the best of my knowledge and belief. I certify that I am either a United States citizen or a foreign national with permanent resident status in the United States. I certify that this contribution is being made from my personal funds, is not being reimbursed in any manner, is not being made as a loan, and is not an otherwise prohibited contribution				
SIGNATURE OF CONTRIBUTOR				DATE (mm/dd/yyyy)

* If you are an individual you may enter an alternate address in lieu of your residential address only if you are admitted into the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or if you are one of the individuals with protected address status articulated in General Statutes §1-217.

Lobbyist and State Contractor Contribution Bans

Connecticut General Statutes § 9-612 (g) (2) (A) & (B), provide in part that no *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from the **General Assembly, Executive Branch, or a quasi public agency** or a *holder, or a principal of a holder of a valid prequalification certificate*, shall make a contribution to a **party committee**.

Connecticut General Statutes § 9-610 (g) provides in part that no *communicator lobbyist or member of the immediate family of a communicator lobbyist* shall make a contribution or contributions to, or for the benefit of . . . a **party committee**.

Contribution Ban "Public Official" Exemption

Please Note: The state contractor contribution bans do not apply to a *principal of a state contractor or prospective state contractor* who is an **elected public official**. See General Statutes § 9-612 (g) (4), as amended by P.A. 08-2. Likewise, the communicator lobbyist contribution ban does not apply to a *spouse or dependent child* of a communicator lobbyist who is an **elected public official**. See General Statutes § 9-610 (i), as amended by P.A. 07-1.

Definition of Terms

"Party committee": a state central committee or a town committee. See General Statutes § 9-601 (2).

"State contract": an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes. See General Statutes § 9-612 (g) (1) (C).

"State contractor": a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See General Statutes § 9-612 (g) (1) (D).

"Prospective state contractor": a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100.

"Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. See General Statutes § 9-612 (g) (1) (E).

"Principal of a state contractor or prospective state contractor": (i) an individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, or (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in (i), (ii), (iii), or (iv). See General Statutes § 9-612 (g) (1) (F), as amended by P.A. 07-01.

"Communicator Lobbyist" means: an individual or entity that is registered with the Office of State Ethics and the term "communicator lobbyist" is defined by Section 1-91 of the Code of Ethics for Lobbyists. A "communicator lobbyist" receives or agrees to receive two thousand dollars or more in a calendar year for lobbying. See General Statutes § 1-91 (e) & (v).

"Immediate family" means: The spouse or a dependent child of an individual. See General Statutes § 9-601 (24). Please note, "spouse" as used above includes partners to a civil union pursuant to General Statutes § 46b-38aa, *et al*.

"Dependent Child" means: a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax return of such individual. See General Statutes § 9-612 (g) (1) (G).

Sample Certification - Form E

Form E - For use by:

***Town Committees for Town Committee Advertising
(Ad Book) Purchases*****Advertising Purchase Certification Form**
[Insert name of Town Committee]

Town Committees may not receive advertising purchases from communicator lobbyists, immediate family members of communicator lobbyists, state contractors, prospective state contractors, or principals of state contractor or prospective state contractors.

NAME OF PURCHASER		AMOUNT OF AD PURCHASE
		\$
DATE OF FUNDRAISER (mm/dd/yyyy)	AMOUNT OF AGGREGATE ADVERTISING PURCHASES THIS CALENDAR YEAR (If known)	
	\$	

IS THE PURCHASER A BUSINESS ENTITY?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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PURCHASER ADDRESS*		PHONE NUMBER
CITY	STATE	ZIP CODE

Please review the definitions on the reverse of this form and answer each of the following:

- Yes ☐ No ☐ Are you a communicator lobbyist?
- Yes ☐ No ☐ If you are an individual, are you the spouse or dependent child of a communicator lobbyist?
- Yes ☐ No ☐ If you are an individual, are you a principal of a state contractor or prospective state contractor?
- Yes ☐ No ☐ If you are a business entity, are you a principal of a state contractor or prospective state contractor?

CERTIFICATION

I hereby certify and state that all of the information disclosed by me and set forth above on this card is true and accurate to the best of my knowledge and belief.

SIGNATURE OF PURCHASER_____
DATE (mm/dd/yyyy)

* If you are an individual you may enter an alternate address in lieu of your residential address only if you are admitted into the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or if you are one of the individuals with protected address status articulated in General Statutes §1-217.

Fundraiser Advertising Purchases

The law allows a **business entity** to purchase up to **\$250** of advertising space each calendar year in program books for fundraising affairs sponsored by a town committee. *See* General Statutes § 9-601a (b) (10) (B). Likewise, the law allows all other **persons** (including individuals, other committees and labor unions) to purchase up to **\$50** of advertising space each calendar year in program books for fundraising affairs sponsored by a town committee. *See* General Statutes § 9-601a (b) (10) (B).

Connecticut General Statutes § 9-601a (b) (10) (B) provides that the following **may not** purchase advertising space in a program for a fundraising affair sponsored by a town committee: (i) A communicator lobbyist, (ii) a member of the immediate family of a communicator lobbyist, (iii) a state contractor, (iv) a prospective state contractor, or (v) a principal of a state contractor or prospective state contractor.

Definition of Terms

"Business entity" includes the following: stock corporations, banks, insurance companies, business associations, partnerships, joint ventures, private foundations, trusts or estates, corporations.

"Person" includes the following: individuals, political committees, and labor unions.

"State contract": an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes. *See* General Statutes § 9-612 (g) (1) (C).

"State contractor": a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. *See* General Statutes § 9-612 (g) (1) (D).

"Prospective state contractor": a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee. *See* General Statutes § 9-612 (g) (1) (E).

"Principal of a state contractor or prospective state contractor": (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor. *See* General Statutes § 9-612 (g) (1) (F), as amended by P.A. 07-01.

"Communicator Lobbyist" means: an individual or entity that is registered with the Office of State Ethics and the term "communicator lobbyist" is defined by Section 1-91 of the Code of Ethics for Lobbyists. A "communicator lobbyist" receives or agrees to receive two thousand dollars or more in a calendar year for lobbying. *See* General Statutes § 1-91 (e) & (v).

"Immediate family" means: The spouse or a dependent child of an individual. *See* General Statutes § 9-601 (24). Please note, "spouse" as used above includes partners to a civil union pursuant to General Statutes § 46b-38aa, *et al.*

"Dependent Child" means: a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax return of such individual. *See* General Statutes § 9-612 (g) (1) (G).